

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36

San José State University
Academic Senate
Curriculum and Research Committee
March 18, 2024
First Reading

AS 1867

Policy Recommendation
Amendment B to University Policy S14-6, Policy and Assurance for Humane Care and Use of Animals at San José State University

Amendment B: S14-6, University Policy, Policy and Assurance for Humane Care and Use of Animals at San José State University

Whereas: San José State University recognizes the need to address ethical issues concerning the care and use of animals for University activities; and

Whereas: San José State University must have a current, comprehensive policy assuring the humane care and use of laboratory animals; and

Whereas: That policy must be in accord with current Federal guidelines; and

Whereas: That policy should indicate clearly how animal activities are to be organized and conducted, what procedures are to be followed, what individual responsibilities are with regard to the care and use of animals, and what University committee oversees the humane care and use of animals; and

Whereas: IACUC membership and meeting bylaws are now detailed in a Standards of Practice document in SJSU’s Research Compliance Unit to allow for more flexibility with changing federal regulations; be it therefore

Resolved: That the following amendment to [S14-6](#) be adopted.

37
38 Approved: March 4, 2024
39 Vote: 10-0-1
40 Present: Kourosh Amirkhani, Marc d'Alarcao, Megan Chang, Stefan
41 Frazier, Marie Haverfield, Ellen Middaugh, Richard MocarSKI,
42 Scott Shaffer, Sahithya Swaminathan, Cristina Velarde, Hiu-
43 Yung Wong (Chair)
44
45 Absent: Heather Lattimer
46
47
48 Workload Impact: None
49
50 Financial Impact: None
51
52
53

UNIVERSITY POLICY

Policy and Assurance for Humane Care and Use of Animals at San José State University

58	0.0	CONTENTS
59	1.0	Preamble
60	2.0	Purpose
61	3.0	Definitions
62	4.0	Policy Oversight and Individual Responsibilities
63	5.0	Principles for the Use of Animals
64	6.0	Activity Descriptions and Protocol Forms
65	7.0	Protocol Review Standards and Procedures
66	8.0	Project Risk Assessment, Personnel Safety and Training
67	9.0	References

68

69

70 1.0 Preamble.

71

72

Ethics and the Care and Use of Animals at San José State University

73

74

75 San José State University (SJSU) recognizes this policy as its reference for the humane
76 care and use of animals and for addressing ethical concerns in discussions, evaluations
77 and policy matters regarding the care and use of animals by all individuals at SJSU and its
78 affiliates.
79

80 SJSU acknowledges the public debate about the legitimacy, importance and relevance of
81 the ethics of animal care and use. We recognize that within this debate there are a
82 number of legitimate and responsible perspectives, concerns and unresolved issues that
83 are expressed in various ways. We, therefore, commit ourselves to be a respectful and
84 responsible party within this on-going public debate.
85

86 SJSU recognizes the relevance, value and significance of the ideals of the humane
87 treatment of animals as part of conducting sound scientific research and quality teaching.
88 Therefore, we commit ourselves to actively: seek satisfactory means that do not entail the
89 use of animals; employ ways that minimize the number of animals used; minimize physical
90 and psychological discomfort to the animal; and minimize the extent of euthanasia entailed
91 in our work.
92

93 SJSU holds that among the sources of our ethical responsibilities in the care and use of
94 animals are the relationships we have with the other members of the animal kingdom, and
95 the life that we hold in common with them. Therefore, we view our role in the care of
96 animals to be one of stewardship, which includes the responsibility to actively assess and
97 meet the needs of animals in our charge and to provide for their comfort. We view our role
98 in all instances of animal use to be one that must reflect a deep sense of humility. Our
99 corresponding responsibilities must include efforts to seek and employ methods that
100 embody respect for the life of individual animals and reverence for life itself.
101
102

103 0. Purpose.
104

105 When animals are used for academic activities at SJSU, every effort will be made to
106 ensure that faculty, staff, and students understand their ethical and scientific obligations
107 with respect to animal care and use. This policy sets forth standards, procedures, and
108 guidelines by which SJSU and its affiliates shall ensure compliance with federal and
109 University expectations with regard to the care and use of animals for academic
110 purposes.
111

112 3.0 Definitions.
113

114 3.1 Animal refers to any live or dead non-human vertebrate species that is acquired,
115

116 utilized or held for intended use in an academic activity, which includes the utilization of
117 animal blood or tissues. Non-living animal tissues covered by this policy include, but are
118 not limited to hair, bone, feathers, scales, teeth, excrement, boluses and secretions.
119

120 3.1.1 Operationally, this policy pertains to the care and use of vertebrate animals. In
121 addition, SJSU affirms that the purview of this policy extends to the use of **Cephalopods**
122 **and** select invertebrate species as described in *Section 6.5* of this policy.
123

124 3.2 Activity refers to any University-supported project, whether it is publicly or privately
125 funded, involving the use of animals for purposes of research, field study, experimentation,
126 teaching, demonstration, training, testing, exhibition, artistic display, or related academic
127 purpose.
128

129 3.3 Handling refers to the physical care, feeding, holding, petting, capture, dosing,
130 sampling, disturbance, dispatch, breeding, baiting, release, transport, immobilization,
131 dissection, treatment, training, or related interaction with an animal.
132

133 3.4 Pain refers to a complex experience that typically results from stimuli that damage or
134 has the potential to damage tissue; such stimuli prompt withdrawal and evasive action on
135 behalf of an animal.
136

137 3.5 Distress refers to an aversive state in which an animal is unable to adapt to
138 stressors/stress and results in maladaptive behavior and physical pathology. Stress can
139 manifest as an external or internal event, which induces an alteration in biological
140 equilibrium.
141

142 3.6 Discomfort refers to a state of uneasiness and hardship for an animal; deprivation of
143 comfort or ease.
144

145 3.7 Facility refers to any and all buildings, laboratories, rooms, spaces, enclosures, land,
146 vessels or vehicles under the administrative control of SJSU or designated sites at off-
147 campus locations used to support an animal-related activity.
148

149 3.8 Personnel refers to any SJSU faculty member, research affiliate, employee,
150 **appointed** volunteer, staff, administrator, permit holder, contractor, or student who is
151 involved with the handling of an animal.
152

153 3.9 Protocol refers to the complete written description of an animal-related activity,
154 including all permits, attachments, and subsequent amendments, approved by the
155 Institutional Animal Care and Use Committee.
156

157 3.10 Submission refers to any proposal, policy, or document related to the care and/or
158 use of animals that is pending review or approval by the Institutional Animal Care and Use
159 Committee.
160

161
162 4.0 Policy Oversight and Individual Responsibilities.
163

164 4.1 Humane care and treatment of animals used in higher education; whether for
165 research or instruction, the arts or sciences, is a university-wide responsibility. It is the
166 policy of SJSU to comply with federal and state requirements that pertain to the
167 acquisition, care, and treatment of laboratory animals. Therefore, in order to ensure proper
168 implementation of this policy, areas of responsibility are hereby designated to personnel
169 directly engaged in activities involving animals and University officials identified herein.
170

171 4.2 As CEO, the University President is charged with the overall administrative
172 responsibility for ensuring that the institution's animal care and use program is in full
173 accord with all applicable federal regulations. The University President is responsible for
174 providing public assurance that animals associated with legitimate academic activities are
175 properly cared for and being treated in accordance with IACUC-approved standards.
176

177 4.3 Institutional Official. The University President may designate responsibility to the
178 Institutional Official (e.g. the Associate Vice President for Research) to oversee and
179 administer the institution's Animal Care Program. Designation of the Institutional Official
180 requires formal written appointment by the President indicating, minimally, that the
181 designee shall have the administrative and operational authority to: 1) allocate University
182 resources to ensure that the animal care and use program complies with all applicable
183 laws and institutional assurances; and 2) define and assign responsibilities and reporting
184 channels essential to the animal care and use program and this policy.
185

186 4.3.1 The Institutional Official will rely on the Institutional Animal Care and Use
187 Committee (IACUC), Campus Veterinarian, and the Dean of the College of Science to: 1)
188 oversee the institution's animal care program and facilities; 2) to develop plans and
189 timelines to correct program deficiencies; 3) respond to reported concerns that may arise
190 concerning the institution's care and use of animals; and 4) the animal care and use
191 training program for personnel.
192

193 4.3.2 The Institutional Official will have the responsibility and authority to sign
194 correspondence with outside agencies making a commitment on behalf of the University
195 as it pertains to the animal care and use program. The Institutional Official shall promptly
196 notify the appropriate external agency if the IACUC suspends an approved activity or there

197 is a serious violation of the Public Health Service Policy on the Humane Care and Use of
198 Laboratory Animals or the Laboratory Animal Welfare Act, if applicable.
199

200 4.3.4 The University President shall act as the Institutional Official if his/her designee is
201 unavailable. In such instances, the Office of the President shall generate a memo to the
202 IACUC Chair indicating that the University President shall assume the role as Institutional
203 Official with the authority to sign all related documents under this role until any further
204 change in designation is indicated in writing. The University President shall promptly
205 notify the respective Federal agencies of any change in designation of the Institutional
206 Official as required.
207

208 4.4 Campus Veterinarian. The University President shall appoint one Doctor of
209 Veterinary Medicine with the appropriate training, certification and experience in laboratory
210 animal science and medicine who will have direct responsibility for the health and welfare
211 of animals associated with the SJSU Animal Care Program. As Veterinary Director,
212 responsibilities of the Campus Veterinarian include monitoring animal health and welfare,
213 routine clinical assessments of the animal colonies, treating illness or injury requiring
214 veterinary medical care, laboratory diagnosis and necropsy when required, and
215 maintaining the institution's Program of Veterinary Care (PVC). The PVC shall describe
216 standard veterinary practices for the acquisition, housing, stabilization, and quarantine of
217 newly introduced species; colony surveillance and preventative medicine schedules;
218 veterinary enrichment program; selection and utilization of suitable analgesic, anesthetic
219 and tranquilizing agents in laboratory animals; proper performance of surgical procedures
220 and perioperative care of laboratory animals; and methods of euthanasia.
221

222 4.4.1 The Campus Veterinarian shall serve as a voting member of the IACUC and report
223 to the Institutional Official. To ensure the health and welfare of animals used in teaching
224 and research, the Campus Veterinarian will have unlimited access to all facilities under
225 control of the University where animals are held or used with due respect for the demands
226 of work in progress. The Campus Veterinarian shall be authorized to coordinate consults
227 and/or contracts with veterinary specialists on an as needed basis to ensure adequate
228 veterinary care is provided for all species associated with the SJSU animal care program.
229

230 4.4.2 The Campus Veterinarian shall have the authority to halt any activity involving
231 animals approved by the IACUC if the health or welfare of the animals or personnel
232 involved is deemed to be inappropriately in jeopardy until which time the IACUC can
233 review the circumstances and take appropriate corrective action.
234

235 4.5 Institutional Animal Care and Use Committee [IACUC]. The IACUC is an
236 administrative committee appointed by the University President (or his/her designee)
237 responsible to ensure adequate review and oversight of all activities, facilities, and
238 programs related to the care and use of laboratory animals within the jurisdiction of San

239 José State University. The IACUC derives its authority from Federal law and is required
240 to: 1) review and approve all animal activities, including modifications to an approved
241 animal care and use protocol, prior to commencement of the project or modification
242 thereto; 2) review at least once every six months the institution's animal care and use
243 program; 3) inspect at least once every six months all the institution's animal facilities
244 (including satellite locations); 4) prepare and submit reports of the IACUC semiannual
245 evaluations to the Institutional Official describing the nature and extent of the institution's
246 adherence to all applicable regulations and policies governing animal care and use; 5)
247 review and investigate reported concerns of non-compliance involving the care and use of
248 animals at the institution or its affiliates; and 6) have the authority to suspend activities that
249 involve the care and use animals.

250

251 4.5.1 The IACUC shall maintain meeting and membership bylaws approved by the
252 Institutional Official that are in accord with all applicable laws and regulations.

253

254 4.5.2 The IACUC Chair shall monitor committee membership and make
255 recommendations to the Institutional Official to ensure that the IACUC is functional and
256 properly constituted. The IACUC Chair shall monitor committee assembly and conduct to
257 ensure that meetings are conducted in accordance with IACUC bylaws.

258

259 4.6 The Dean of the College of Science (Dean) is charged with overseeing operations
260 and maintenance of the institution's Animal Care Facilities (ACF) and ACF support
261 staff. The Dean shall be included on ACF inspection reports generated by the IACUC to
262 relay all commendations, deficiencies, or recommendations to improve the animal care
263 facilities. Where appropriate, the Dean shall respond to the IACUC Chair in a timely
264 manner with input on corrective action plans to ACF deficiencies noted in IACUC reports.

265

266 4.6.1 The Dean shall be responsible for maintaining a repository of records in the
267 Animal Care department office. Record keeping responsibilities shall include
268 maintaining: 1) minutes of IACUC meetings, including records of attendance; 2) complete
269 records of application submissions, active animal use protocols, and proposed significant
270 changes to animal use protocols, indicating whether IACUC approval was granted or
271 withheld, for a minimum of three years upon completion of the activity; and 3) internal and
272 external inspection reports or oral/written communications with governmental
273 representatives concerning the institution's animal care program. Animal care program
274 documents shall be accessible for audit as required by law at reasonable times and in a
275 reasonable manner.

276

277 4.7 Animal Care Program Manager [ACPM] will have the appropriate veterinary
278 training, certification and/or experience in laboratory animal science and is charged with
279 overseeing the day-to-day activities of the ACF and all animals resident therein. The

280 ACPM shall have access to all animal holding and use areas and will: 1) provide
281 adequate veterinary care to all animals as directed by a veterinarian; 2) coordinate
282 requests with investigators for the procurement, receipt, housing, care, utilization and
283 transfer of live animals; 3) be responsible for implementing professionally acceptable
284 standards for the proper care and use of animals within the ACF and its satellites, and
285 ensuring that those standards are being met; 4) organize and maintain documents related
286 to animal care and use including: animal use protocol descriptions, all IACUC-related
287 business, and correspondence with government agencies; 5) serve as the IACUC
288 Coordinator, whereas investigators will direct submissions and protocol activity
289 requirements through the ACPM who will keep the IACUC informed; 6) be available to
290 escort inspectors for internal and external audits of the institution's animal care facilities
291 and program as required; and 7) provide veterinary support, resources and training to the
292 campus community as directed by the IACUC.
293

294 4.8 The Principal Investigator [PI] is charged with ensuring compliance with this policy
295 for all animal activities under their lead. PIs are: 1) considered the protocol director to
296 ensure that all IACUC requirements and campus safety protocols are adhered to; 2)
297 directly responsible for animal welfare associated with their work and are charged with
298 ensuring that those involved promptly seek veterinary consultation if the health or welfare
299 of an animal is in jeopardy; 3) responsible for overseeing laboratory and field operations,
300 and experiment conditions; 4) responsible to verify adequate procedural knowledge and
301 practical skill of all personnel under their direction in the care and use of animals; 5)
302 responsible to promptly report to the IACUC any adverse or unanticipated study event that
303 results in animal morbidity or mortality; and 6) responsible to ensure that all records
304 related to animal care and use are complete and current, and reports and submissions are
305 accurate and submitted to the IACUC in a timely manner.
306

307 4.9 Reporting Animal Welfare Concerns. Any person should report, anonymously or
308 otherwise, concerns related to animal care and use at San José State University and
309 Moss Landing Marine Laboratories by contacting the Animal Care Program Manager, the
310 Campus Veterinarian, or the IACUC Chair. Contact numbers for reporting concerns shall
311 be prominently posted on the IACUC website and in common areas where animals are
312 housed or used at campus facilities. No concerned or reporting individual shall be
313 discriminated against or be subject to intimidation, coercion, or reprisal for reporting
314 animal welfare concerns or violations of federal law, or any requirement set forth in this
315 policy, or as indicated for individual protections under existing institutional whistleblower
316 policies.
317

318 4.9.1 The IACUC will promptly investigate all reported animal welfare concerns or
319 complaints of non-compliance with institutional policies that involve the care and treatment
320 of animals at SJSU or its affiliates. Reports of such investigations shall be submitted to
321 the Institutional Official for the appropriate action. The IACUC may consider a wide variety

322 of actions following such an investigation, including suspension of the activity and
323 termination of an approved protocol. If requested, the ACPM or Campus Veterinarian
324 shall follow up with the reporting individual/s to share relevant findings of the final
325 investigation.

326
327 4.10 The IACUC is authorized to take any action deemed necessary by a majority vote of
328 a quorum of its membership to ensure that an activity involving animals is being conducted
329 in the manner it was approved. Personnel who, in their use of animals, fail to adhere to
330 IACUC requirements and/or this policy are subject to suspension of animal activities by
331 IACUC and referral to the Institutional Official for appropriate action.
332

333 5.0 Principles for the Use of Animals.

334
335
336 5.1 Procedures involving the use of animals shall be designed and performed with due
337 consideration of their relevance to human or animal health, the advancement of
338 knowledge, or the good of society. For all activities, the project purpose, study objective
339 and experimental design shall be clearly defined and justified by the PI to yield useful
340 results, not practically obtainable without the use of animals.
341

342 5.2 Animals selected for an activity shall be of an appropriate species and quality and
343 minimum number required to obtain valid results. Each animal use protocol must
344 adequately address animal *replacement* (use of inanimate models **and/or taxonomically**
345 **lower species**, and methods such as computer simulation and *in vitro* biological systems);
346 animal *reduction* (statistical justification and/or scientific support of animal numbers
347 associated with an activity are the minimum number necessary to achieve valid results);
348 and avoidance of *unnecessary duplication of experiments* in research and curriculum.
349

350 5.3 Proper use of animals, including the avoidance or minimization of discomfort,
351 distress, and pain where consistent with sound scientific practices, is imperative
352 (*refinement*). Unless the contrary is established, investigators shall consider that
353 procedures known to cause pain or distress in human beings may cause pain or distress
354 in other animals.
355

356 5.4 Procedures with animals that may cause more than momentary or slight pain or
357 distress shall be performed with appropriate sedation, analgesia, or anesthesia whenever
358 possible. A qualified veterinarian shall evaluate and provide investigators input on the
359 clinical, surgical, and technical aspects of an activity or procedure known to cause more
360 than momentary or slight pain or distress to an animal. Confirmation of veterinary
361 consultation shall be clearly documented in the animal care and use protocol for such
362 activities.

363
364 5.4.1 If a procedure or manipulation is likely to cause greater discomfort than the applied
365 level of anesthesia, the animals must first be rendered incapable of perceiving pain and be
366 maintained in that condition until the experiment or procedure is ended. Animals that
367 would otherwise suffer severe or chronic pain or distress that cannot be relieved should be
368 painlessly dispatched at the earliest, most appropriate time. The PI or personnel in charge
369 of the activity must be prepared to terminate the study whenever s/he believes that its
370 continuation may result in undue or unnecessary injury or suffering to the animal as a
371 humane endpoint.
372

373 5.4.2 If an emergent situation occurs where the well-being of the animal is at stake,
374 investigators shall immediately halt the activity and contact the attending veterinarian for
375 animal welfare consultation. The PI must bring to the IACUC's immediate attention any
376 adverse study event that impacts the health or well-being of study animals for review and
377 possible action.
378

379 5.5 The living conditions of animals shall be appropriate for their species and contribute
380 to their health and comfort. The housing, feeding and care of all animals will be directed
381 by the Campus Veterinarian or designee qualified and experienced in the species of
382 interest. When appropriate every effort shall be made to provide physical and
383 psychological enrichment unless to do so would negatively impact the study
384 objective. Standards for the construction, sanitation and use of housing, service, and
385 surgical facilities shall meet those described by all applicable federal regulations and
386 guidelines for the care and use of laboratory animals.
387

388 5.6 All animals shall have access to adequate veterinary care, including off-hours,
389 weekends, holidays and campus closures as dictated by the Campus
390 Veterinarian. Animals shall be monitored at appropriate intervals which are dictated by the
391 species, the nature of the intervention, the degree and duration of post-procedural pain,
392 distress or discomfort, and possible complications. During monitoring, animals shall be
393 evaluated for the presence of pain, distress or discomfort whereas the criteria are based
394 upon normal behavior patterns for that species.
395

396 5.7 Activities involving the care and use of animals must be led and supervised by a
397 qualified faculty member or the Campus Veterinarian (identified as the Principal
398 Investigator), and performed by personnel who are properly trained and
399 experienced. Animal welfare policy training shall be made available through the University
400 Animal Care department. Personnel involvement and qualifications in the care and use of
401 animals shall be reviewed by the IACUC with sufficient frequency to fulfill individual
402 responsibilities as described in the animal use protocol.

403
404 5.8 The conduct of all animal-related activities shall be done utilizing current veterinary
405 practices consistent with acceptable scientific and institutional standards. Additionally,
406 any ancillary scientific collection and special use permission or site access requirements
407 related to an animal activity must be revealed to and approved by the IACUC.
408

409 5.9 All drugs, medical materials, feed and supplements for laboratory animals must be
410 appropriately stored and be kept in-date. All facilities shall be routinely monitored for
411 expired product, which must be properly segregated or promptly disposed of. Veterinary
412 drugs shall be of pharmaceutical grade whenever possible and those drugs used for
413 experimental procedures, anesthesia, analgesia, euthanasia, and emergency care must
414 never be used beyond their expiration date. The use of non-pharmaceutical grade
415 compounds or expired materials for terminal procedures must first be revealed to and
416 approved by the IACUC to determine that the use of such a product will not adversely
417 affect the animal's well-being or compromise the validity of the study.
418

419 5.10 Details related to **animal holding and study locations, including** animal confinement,
420 restraint, and transport, must be revealed to and approved by the IACUC. **Holding areas**
421 **and** primary conveyances must provide adequate ventilation, protection from temperature
422 extremes and minimize stress to the animal. During transport animals shall be
423 appropriately secured and monitored at appropriate intervals while in transit to ensure their
424 well-being. Animals must be promptly delivered, received and uncrated at an IACUC-
425 approved facility. The movement of animals between buildings must be in accord with
426 IACUC standards that stipulate that animals shall be transported safely in a secure
427 enclosure and in an inconspicuous manner.
428

429 5.11 The IACUC must approve the acquisition, housing, care, transfer, disposal and/or
430 final disposition of live animals, animal carcasses or their parts upon completion of a
431 project. With regard to the transfer of live animals from one IACUC-approved study to
432 another, personnel must receive authorization from the ACPM prior to the intended
433 transfer to ensure that all institutional requirements have been met.
434

435 5.12 Methods of euthanasia will be performed by qualified individuals in a manner that
436 induces a rapid state of unconsciousness to insure an immediate and painless death for
437 the animal. Euthanasia procedures conducted on animals must be considered the most
438 humane given the study objective and should be in accordance with the current
439 recommendations made by the American Veterinary Medical Association (AVMA)
440 Guidelines for the Euthanasia of animals wherever possible. Deviations from any of the
441 euthanasia practices specified by AVMA recommendations must be justified in the animal
442 use protocol and approved by the IACUC. No animal shall be discarded until after it has
443 been assessed by a qualified individual to be confirmed dead.
444

445 5.13 Personnel must follow the guidelines and requirements set forth by the IACUC in
446 accordance with the standards and procedures outlined herein with due consideration of
447 the statement on ethics and the care and use of animals in the preamble to this policy. All
448 animal use protocols must be complete and accurate, and signed with a statement by the
449 PI signifying that they have read and will abide by this policy. Any deviations from the
450 provisions set forth in *Section 5* of this policy must be presented in writing by the PI and
451 granted IACUC approval before the activity commences.
452

453
454

455 6.0 Activity Descriptions and Protocol Forms.

456

457 6.1 Activities involving the care and use of animals by University personnel, on
458 University property or at University facilities, or using University funds (including
459 subcontracts) must be approved by the SJSU IACUC before the activity
460 commences. Protocol descriptions must be complete and accurate when presented to the
461 IACUC in a timely manner for review and approval. **No change to an approved protocol
462 may be instituted without prior written approval from the IACUC.**
463

464

465 6.1.1 Personnel must pursue IACUC approval for instructional, research, artistic and field
466 activities as required by this policy or as requested by individual academic departments,
467 the College of Graduate Studies, or the San Jose State University Research and Tower
468 Foundations. It is at the discretion of the IACUC to voluntarily review submissions from
469 the campus community that do not meet **policy requirements** for oversight of an animal
470 activity._

471

472 6.1.2 SJSU IACUC approval of an activity shall not relieve the Principal Investigator of
473 the responsibility to obtain additional permits with the Institutional Review Board (human
474 subjects), Health Physics Committee (radioactive materials), or **Institutional Biosafety
475 Committee (recombinant DNA use and Biological Use Authorizations)**, or to comply with
476 applicable Federal, State or local requirements. The IACUC reserves the right to request
477 proof of permit from institutional committees or other agencies before approving animal-
478 related activities.

479

480 6.1.3 Initiating or conducting animal activities without securing SJSU IACUC approval is
481 considered a violation of this policy. The IACUC will not consider, accept or conduct
482 retroactive review of protocol submissions involving the care or use of animals led or
483 initiated by SJSU personnel if the activity is considered completed. Ongoing activities that
484 are not approved by the SJSU IACUC must be immediately halted and reported to the
IACUC for proper investigation and action. Activities that are not in compliance with this

485 policy will be promptly investigated by the IACUC and reported to the Institutional Official
486 for recommended action.

487
488 6.1.4 The IACUC may consider approving personnel involvement in activities that are led
489 or initiated by outside institutions under an IACUC-approved protocol and are considered
490 on-going. It is important that faculty and students communicate their interests to use live
491 animals or their tissues at the earliest possible time to the University Animal Care
492 department office so that the IACUC can be informed and review the appropriate protocol
493 form.

494
495 6.1.5 The SJSU IACUC will consider accepting alternate IACUC approval and deferring
496 oversight of an ongoing activity that is initiated, led, and/or conducted by a third-party or
497 organization. Where applicable, the SJSU IACUC will only approve such submissions for
498 the designated approval period indicated by the IACUC from the third-party performance
499 site. An application form is available for IACUC review of such requests.

500
501 6.1.6 The SJSU IACUC will consider permitting individual use of data previously
502 collected from activities led or initiated by a third-party or organization under an IACUC
503 approved protocol. In such situations where outside IACUC oversight was not required by
504 law, SJSU personnel must be able to show legal association with the activity and that all
505 applicable federal laws and agency guidelines were adhered to with respect to the care
506 and use of live animals.

507
508 6.2 IACUC protocol submissions shall be sponsored and signed by a SJSU faculty
509 member **or other individual institutionally recognized with PI status per University policy**
510 **S18-5**, or the Campus Veterinarian, identified as the Principal Investigator. Protocol forms
511 used must be the most current version available and filled in completely. The IACUC may
512 require full resubmission of any protocol application on the appropriate form. Protocol
513 submission forms, submission deadlines and contact information for submission guidance
514 shall be made available on the IACUC resources webpage.

515
516 6.2.1 Activities conducted by faculty on sabbatical and visiting scholars or other third-
517 party individuals at or through SJSU must be approved by the SJSU IACUC. Therefore,
518 visitors to the University must be supported and represented by an SJSU faculty member
519 or the Campus Veterinarian to pursue IACUC approval for animal-related activities. SJSU
520 affiliates involved with activities at outside institutions shall comply with applicable
521 provisions set forth by the IACUC at those institutions.

522
523 **6.2.2 If the PI is planning a leave or sabbatical rendering them unable to oversee**
524 **ongoing study conditions, the appropriate arrangements shall be made to ensure the**
525 **proper use of animals. Where appropriate, PI leave plans should be shared with the**

526 Animal Care Program Manager for animals being held for study. The Campus
527 Veterinarian shall make a recommendation to the IACUC and Institutional Official if PI
528 oversight becomes a concern.
529

530 6.3 *Activities Involving the Use of Non-living Animal Tissues.* Non-living tissue samples
531 obtained **post-mortem or** from an animal's natural habitat, museum collections,
532 commercial sources, road kill, or from a collaborator's scientific archive are subject to
533 IACUC oversight to verify the source and manner in which the samples were
534 obtained. The receipt of voucher specimens into campus museum collections is also
535 subject to IACUC oversight and approval. The IACUC will require verification of a valid
536 import permit for specimens derived from species of special concern, threatened,
537 endangered or as required by law. The IACUC may require documentation of the date,
538 time, and circumstances of collection, including proof of prior IACUC approval, for tissues
539 shared by outside collaborators. An abbreviated protocol form is available for IACUC
540 review of such activities.
541

542 6.3.1 Opportunistic sources of obtaining animal tissue include (but are not limited to)
543 contracts with tissue banks or utilization of clinical diagnostic samples. In order to use the
544 abbreviated submission form, investigators cannot influence in any way the handling of a
545 live animal to obtain the sample. Tissue acquisition by contracting or subcontracting the
546 collection of samples from live animals (e.g., serum antibody production) will require
547 completion of the protocol for care and use of vertebrate animals. Additional review
548 requirements may be imposed by outside institutions for the handling or transfer of
549 animals or their parts.
550

551 6.3.2 Where applicable, investigators are encouraged to collaborate internally and share
552 tissue samples made available from ongoing projects to reduce the number of animals
553 required for other studies. The ACPM shall be a resource to investigators to coordinate
554 tissue sharing that will require IACUC approval for the recipient using an abbreviated
555 protocol form.
556

557 6.4 *Activities Involving Fertile Eggs from Vertebrate Animals.* The IACUC requires review
558 and approval for the handling of fertile vertebrate eggs. An abbreviated protocol form is
559 available for IACUC review of projects using fertile eggs **in early-stage**
560 **development.** Depending on the species being studied and the time the manipulations will
561 occur during embryonic development, submission of the protocol for animal care and use
562 may be required. Determination as to which protocol submission form is appropriate
563 should occur upon consultation with the SJSU veterinary staff prior to IACUC
564 consideration.
565

566 6.5 *Activities Involving Invertebrate Species.* The IACUC requires review and approval of
567 activities that involve the holding or use of multicellular invertebrate species if: 1) the
568 species is listed as endangered, threatened or of special concern at federal or local levels;
569 2) the species is considered venomous or a threat to public health; or 3) the project
570 involves a non-native species that requires permission from a State or local authority to
571 possess or handle, even if specimens are obtained commercially. An abbreviated protocol
572 form is available for IACUC review and approval of such activities.
573

574 6.5.1 **The IACUC requires review and approval of activities that involve the handling of**
575 **Cephalopod species using the protocol for animal care and use.**
576

577 6.6 *Observational Studies Involving Animals.* For purely observational studies that do
578 not involve handling or disturbing of a live animal in its natural habitat, the IACUC requires
579 review and approval of projects that entail the deployment of recording equipment as part
580 of the study or requires permission from a government authority to approach the species
581 being studied or to gain regional access to sensitive habitats, public or private lands,
582 sanctuaries or refuges. An abbreviated protocol form is available for IACUC review and
583 approval of such activities.
584

585 6.7 Activities that entail the holding, handling or disturbance of a live vertebrate animal is
586 subject to IACUC review and oversight. Such activities must be submitted and approved
587 using the protocol for animal care and use. Each protocol submission shall meet the
588 requirements outlined in *Section 7* of this policy.
589

590 6.8 *Project Categorization of Potential Pain and Distress in Laboratory Animals*
591 descriptions shall be appropriately assigned for all IACUC approved live vertebrate animal
592 activities. Pain and distress category descriptions shall conform to federal guidelines and
593 be made available on the protocol for animal care and use. During protocol review the
594 IACUC reserves the right to reassign the projected pain and distress category designation
595 for any activity. General information on project categorization of pain and distress in
596 laboratory animals is as follows:
597

598 6.8.1 *Category One:* Use of non-living tissues, **invertebrates covered by this policy**,
599 fertile vertebrate eggs in early gestation, or observational animal studies approved
600 using an abbreviated protocol form as described in *Section 6.3 through 6.6* of this
601 policy. Activities identified as a higher pain category level (II, III, IV or V) are to be
602 submitted and approved using the IACUC's protocol for animal care and use.
603

604 6.8.2 *Category Two:* Activities that involve the handling of vertebrate animals **and**
605 **Cephalopods** that may produce little or no physical pain or distress, and would not warrant
606 relief of temporary pain, distress, or discomfort.

607
608 6.8.3 *Category Three:* Activities that may produce minor pain or distress in
609 vertebrate animals and Cephalopods in which every effort is made to avoid, minimize
610 and relieve discomfort using the appropriate anesthetic, analgesic or tranquilizing
611 drugs, and improving the animal's well-being by providing supportive care as
612 needed. If the IACUC determines that activities could potentially cause more than
613 slight or momentary pain or distress to an animal (as defined in category III, IV or V),
614 the PI is required to consult with a qualified veterinarian on the protocol design and
615 outline a search for alternatives to all such procedures.

616
617 6.8.4 *Category Four:* Activities that may produce significant pain or distress in
618 vertebrate animals and Cephalopods in which every effort is made to avoid, minimize
619 and alleviate suffering using the appropriate anesthetic, analgesic or tranquilizing
620 drugs, and improving animal's well-being by providing adequate supportive and
621 veterinary care where appropriate. Activities of this nature (e.g., invasive surgery)
622 require that investigators maintain detailed animal care records documenting animal
623 monitoring plans, assessments, pain management, and supportive veterinary care
624 schedules. Category IV studies present an explicit responsibility on the part of the PI
625 to justify the experimental design and implementation of research, to seek alternative
626 methods, and to properly train personnel working on the study to ensure that animal
627 pain and distress is properly recognized and alleviated, or avoided.

628
629 6.8.5 *Category Five:* Activities that involve greater than momentary pain or distress,
630 or unavoidable pain, discomfort, or distress in vertebrate animals and Cephalopods
631 whereas use of the appropriate anesthetic, analgesic or tranquilizing drugs to
632 minimize or alleviate suffering are withheld due to adverse impacts on the procedures,
633 results or interpretation of study. The PI must explore and document means by which
634 any animal suffering shall be mitigated to the greatest extent possible, including
635 supportive care and beneficial modifications to the animal's environment. Such
636 activities must be deemed irrefutably necessary by design to receive IACUC approval.

637

638

639

640 7.0 Protocol Review Standards and Procedures.

641

642 7.1 The IACUC is charged with institutional review and approval of animal care and use
643 protocols, including proposed significant or minor changes to a protocol, and oversight of
644 ongoing activities that involve the care and use of laboratory animals. The IACUC shall

645 evaluate each animal use protocol description and modification request for (but not limited
646 to):

647
648 7.1.1 Adherence to the provisions and standards cited in *Section 5* of this policy.
649

650 7.1.2 Assurance that protocols that entail the use of live vertebrate animals include
651 identification of the species and approximate numbers to be used; rationale for involving
652 animals and the appropriateness of the animals selected and numbers of animals to be
653 used; a complete description for the proposed use of animals; a description of procedures
654 designed to assure that discomfort and pain to animals will be limited to that which is
655 unavoidable for the conduct of scientifically valid research or teaching; and a description of
656 a euthanasia method to be used.

657
658 7.1.3 Assurance that the housing and care of animals meets Federal standards, and that
659 animals receive adequate veterinary care and physical and psychological enrichment
660 where appropriate per IACUC standards.
661

662 7.1.4 Assurance that activities involving surgery include appropriate provision for pre-
663 operative and post-operative care of animals in accordance with established veterinary
664 medical and nursing practices, and that all survival surgery will be performed using aseptic
665 technique.
666

667 7.1.5 Assurance that the pain and distress category for each proposal is appropriately
668 assigned and that all procedures that may cause more than momentary or slight pain or
669 distress to animals are performed with appropriate sedation, analgesia or anesthesia
670 when possible, with accompanying documentation and scientific justification that less
671 painful or distressful procedures are not available or appropriate.
672

673 7.1.6 Assurance that the number of animals to be used is the minimum necessary to
674 achieve valid results and alternatives to the use of live animals have been adequately
675 considered.
676

677 7.1.7 Assurance that animal activity locations and facilities are described in the animal
678 care and use protocol. For proposed off-campus facilities the IACUC must approve
679 incorporating them into the institution's animal use program whereas the care and use of
680 animals will be subject to the principles outlined herein.
681

682 7.1.8 Assurance from the PI that the proposed animal activity has been examined and is
683 not unnecessarily duplicating work that is ongoing or has already completed, whether in
684 publication or curriculum.
685

686 7.1.9 Assurance that the level of personnel involvement, animal handling experience and
687 training or required training, guidance and supervision is described and that all individuals
688 are properly trained and deemed proficient by the PI or their designee in the humane care
689 and use of animals before engaging in an animal-related activity.
690

691 7.1.10 Assurance that the risks associated with the care and use of animals are reduced
692 to acceptable levels and that personnel are adequately trained. The IACUC shall evaluate
693 and inform the PI of the potential hazards related to chemical usage, bites and exposures,
694 allergens, and risk of zoonotic transmission identified in the approved protocol.

695 7.1.11 Assurance that the PI or designee shall obtain and abide by all applicable Federal,
696 state or local scientific collection, marking and access permits associated with the care
697 and use of animals.
698

699 7.1.12 Assurance that any deviation from provisions outlined in this policy, applicable
700 Federal guidelines, or institutional standards in the care and use of animals is revealed to
701 and approved by the IACUC before the activity commences.
702

703 7.1.13 Falsification of information on an animal care and use protocol submission or
704 deviation from approved protocol by the PI or personnel may be considered by the IACUC
705 as immediate grounds for suspension of an activity, revocation of IACUC approval for the
706 use of animals and referral to the Institutional Official for appropriate action.
707

708 7.2 Protocol Review and Approval.
709

710 7.2.1 The PI is responsible for screening the protocol application for accuracy and
711 completeness prior to IACUC consideration. The PI shall submit the appropriate animal
712 care and use protocol submission form with attachments for IACUC review in ample time
713 before the proposed project initiation date (60 days prior is recommended). Instructional
714 protocols must be submitted to and approved by the IACUC in ample time before the
715 commencement of a given semester. The PI is encouraged to allow time for preview of
716 the protocol submission by the IACUC staff or Campus Veterinarian before formally
717 submitting materials for IACUC consideration.
718

719 7.2.2 For activities identified at a pain and distress level III or greater, the PI must consult
720 a qualified veterinarian prior to IACUC consideration of the protocol to ensure that
721 methods of analgesia, anesthesia, tranquilization, euthanasia and pre/post-operative care
722 are appropriate, employed where necessary, and are in accordance with current
723 veterinary and nursing practices.
724

725 7.2.3 Procedures for handling a protocol submission for IACUC review and approval are:

726
727
728 . The complete protocol submission is routed to the IACUC Coordinator electronically
729 for processing by the submission deadline. The Coordinator reviews all submissions for
730 completeness and may provide input or assistance to the PI with developing the
731 submission before accepting it.

- 732 a. The PI must provide a complete lay description of the proposed use of
733 animals. Submissions that are considered too technical for a lay audience by the IACUC
734 will be returned for full revision.
- 735 b. **When the submission is accepted for IACUC review the Coordinator will issue a**
736 **reference number for the protocol and instruct the PI when to sign the application**
737 **documents.**
- 738 c. The Coordinator will distribute all protocol submissions for pre-review by the IACUC
739 prior to the meeting date.
- 740 d. IACUC members return any pre-review questions, comments or requests regarding
741 the protocol submission to the Coordinator by a designated date.
- 742 e. The Coordinator informs the PI in writing of any IACUC requests for clarification or
743 modification in a letter of pending approval to be provided by a designated date.
- 744 f. At the next convened IACUC meeting the Coordinator presents the meeting agenda
745 to include a list of protocol submissions for review and approval.
- 746 g. The IACUC will discuss the protocol submission and any questions, comments, or
747 requests for modification submitted during the pre-review period, and will consider
748 clarification provided or protocol changes made by the PI, if any.
- 749 h. If additional clarification is needed, the IACUC may issue a second letter of pending
750 approval for the PI to address. **The PI may be invited to attend an IACUC meeting to**
751 **address any lingering concerns about the submission directly.**
- 752 i. IACUC review of a protocol will result in the submission being: 1) approved as
753 presented; 2) approved with required modifications (to secure approval); or 3) denied
754 approval.
- 755 j. The Coordinator shall send written correspondence to the PI informing them of the
756 IACUC's decision.

757

758 7.3 Once approved, no changes to the approved animal use protocol can be instituted
759 without prior written approval by the IACUC, including (but not limited to) extension of the
760 approval period, changes in personnel, number or type of animals used, material
761 alterations, and the inclusion, removal or alteration of procedures performed on an
762 animal.

763

764 7.3.1 **If an unforeseen incident occurs where the well-being of the animal is adversely**
765 **impacted, investigators shall immediately halt the activity and contact the attending**
766 **veterinarian for consultation. Any changes recommended or instituted by a veterinarian in**

767 such instances must be promptly presented to the IACUC in the form of an amendment for
768 review and approval before future changes are made under the approved protocol.
769

770 7.4 An individual animal care and use protocol shall not be granted IACUC approval for a
771 period that extends beyond three years. Animal activities to continue beyond the three-
772 year approval period must be fully rewritten for de novo review by the IACUC in ample
773 time before the protocol expires. All animal care and use protocols valid for greater than
774 one year shall be reviewed by the IACUC annually on the protocol anniversary date per
775 *Section 7.10* of this policy. At the discretion of the IACUC, a shorter project approval
776 period from that which the PI has requested, as well as additional requirements, may be
777 imposed.
778

779 7.5 If IACUC approval of a protocol submission is denied, the PI may appeal to the
780 IACUC and request to appear at a convened session of the IACUC. **Resubmission of a**
781 **protocol that was denied approval should only occur after a formal appeal at a convened**
782 **meeting of the IACUC.**
783

784 7.6 Department heads, College Deans and the Institutional Official shall have the
785 authority to deny approval for commencement of an animal-related activity that the IACUC
786 has approved. However, no institutional entity, individual or body may authorize the
787 commencement of an animal-related activity that is pending approval or has been denied
788 approval by the IACUC.
789

790 7.7 The IACUC reserves the right to refuse or suspend review of a protocol submission
791 at any time. Reasons for the IACUC's decision to deny review of a protocol submission
792 shall be provided to the PI in writing.
793

794 7.7.1 PIs that have any business with the IACUC known to be delinquent, non-compliant
795 or otherwise unresolved to the satisfaction of the Committee may have approval of any or
796 all ongoing activities under their direction suspended by the IACUC until such matters are
797 considered resolved and in good standing.
798

799 7.8 If protocol approval should expire or approval of the activity be suspended by the
800 IACUC while animals are actively held for study, the entire colony shall be considered
801 relinquished and may be reassigned to the care and oversight of the Campus
802 Veterinarian. Investigators will not be permitted to handle or direct the care or use of
803 relinquished animals under the control of the Campus Veterinarian **until an alternate**
804 **IACUC-approved protocol is in-place.**
805

806 7.8.1 The Principal Investigator shall assume fiscal responsibility for the housing and care
807 of any and all relinquished or abandoned animals **held under the veterinary holding**

808 protocol. If necessary, the Dean and/or Institutional Official may request funds from the
809 respective University department to ensure all animals are adequately provided for until the
810 matter of IACUC approval is considered resolved.

811 7.9 IACUC Approval Exemptions

812
813 7.9.1 In cases where there is a question as to whether or not IACUC approval is required
814 for a proposed animal activity, personnel should consult with the University Animal Care
815 office. Upon consultation with the IACUC Coordinator, the PI of a proposed study
816 involving animals or animal tissues may submit a request for IACUC approval exemption
817 available on the IACUC resources webpage.

818
819 7.9.2 The IACUC Chair may grant IACUC approval exemption based on the information
820 provided by the PI with respect to the provisions set forth in this policy. Denial of a
821 request for exemption implies that IACUC approval for the proposed activity is required.

822
823 7.9.3 If accepted, an official letter of IACUC approval exemption will be provided to the PI
824 to satisfy requirements for animal subjects oversight.

825 826 7.10 Annual review of protocols

827
828 7.10.1 All active protocols for animal care and use shall be reviewed and approved by
829 the IACUC annually. The IACUC coordinator will route the PI of a protocol the appropriate
830 annual review request information one month before the protocol anniversary date.

831
832 7.10.2 The PI is required to respond to all IACUC requests listed on the annual review
833 cover letter and return the completed annual review form provided by the IACUC
834 Coordinator by the designated date. Questions concerning annual review documents
835 should be directed to the IACUC coordinator.

836
837 7.10.3 Failure by the PI to respond in a timely manner to the IACUC's annual review
838 request may result in protocol approval suspension for an ongoing animal activity.

839
840

841

842 8.0 Project Risk Assessment, Personnel Safety and Training.

843
844 8.1 All activities will be assessed by the IACUC for a safe and healthy work environment
845 to ensure that risks associated with experimental use of animals are maintained within
846 acceptable levels. In addition to complying with University Injury and Illness Prevention
847 Program (IIPP) procedures implemented by SJSU Environmental Health & Safety,

848 personnel will be required to adhere to standards set forth by the IACUC with regard to
849 personal protection and safety. The IACUC requires the PI and all personnel associated
850 with an activity to be familiar with the personnel safety risks, precautions to mitigate safety
851 hazards and emergency response procedures with respect to an IACUC-approved
852 protocol.
853

854 8.1.1 In the event of an injury related to animal handling or potential exposure to a
855 zoonotic disease, personnel shall immediately seek medical attention and report any such
856 exposure to their PI or appropriate supervisor. The PI or supervisor is required to report
857 personnel accidents and injuries to Risk Management or University Personnel within 24
858 hours of the incident to ensure appropriate follow-up care is offered.
859

860 8.2 A University-wide Laboratory Animal Occupational Health Program (LAOHP) shall be
861 in-place to ensure medical consultation, treatment, health surveillance, **workplace**
862 **ergonomics**, and related services for all personnel working with study animals in the
863 classroom, research labs, workshops, studios, and in the field. The LAOHP shall focus on
864 maintaining a safe and healthy workplace for all personnel involved in IACUC-approved
865 activities and shall be consistent with all Federal, State and local Occupational Health and
866 Safety requirements. The LAOHP medical services shall include pre-employment health
867 screening, immunizations, medical consultation and surveillance, and **managing personnel**
868 **injury and exposure to allergens, chemicals, and pathogens**.
869

870 8.2.1 The IACUC will inform the PI of the minimum level of personnel participation in the
871 LAOHP at the time of protocol approval. The IACUC's decision to provide safety related
872 information and/or require personnel participation in the LAOHP will be based upon the
873 potential hazards identified in the protocol posed by the animals and materials used; on
874 the exposure intensity, duration, and frequency; on the susceptibility of personnel and on
875 the history of occupational illness and injury in the particular workplace. Individual
876 participation in an activity deemed high-risk by the IACUC shall be sanctioned by the
877 IACUC only with clearance by a LAOHP appointed physician. Instructions for personnel
878 enrollment into the LAOHP shall be made available on the IACUC resources webpage.
879

880 8.3 The University Animal Care department shall maintain a Crisis Readiness and
881 Response Program (CRRP) to protect the well-being of laboratory animals during times of
882 natural disaster, systems failures, and intentional actions against the University. In time of
883 need, the CRRP shall direct the flow of information, interdepartmental response and
884 resources in an organized fashion. The CRRP shall identify an Institutional Crisis
885 Management Team (ICMT) charged with making assessments of the institution's risk of
886 disaster, recommending and implementing risk-reduction strategies and managing crisis
887 situations in real time. The ACPM shall review the CRRP annually and report findings (and
888 any changes thereto) to the IACUC where it shall be reflected in the meeting minutes. All
889 personnel directly associated with the CRRP must be adequately trained.

890
891
892
893
894
895
896
897
898
899
900
901
902
903
904
905
906
907
908
909
910
911
912
913
914
915
916
917
918
919
920
921
922
923
924
925
926
927
928
929
930

8.3.1 The University Animal Care department shall maintain a Media Security Policy (MSP) that adequately promotes and enforces the safety of personnel, animals, activities and facilities of SJSU and its affiliates. The MSP applies to all personnel on the permitted use and dissemination of photographic and video images related to animals, animal activities and animal facilities. The Animal Care department’s Media Security Policy shall be made available on the IACUC resources webpage.

8.4 The IACUC shall maintain a personnel training program for all individuals responsible for the care or use of animals. All personnel shall be appropriately qualified and experienced in conducting procedures involving live animals. Personnel who are expected to perform veterinary anesthesia, surgery or other experimental manipulations must be qualified through experience and training to accomplish these tasks in a humane and scientifically acceptable manner. Personnel shall also have access to and, where appropriate, engage in continuing education and training in the care and use of animals as it relates to their work.

8.4.1 IACUC policy training shall include (but not be limited to): principles of the intent and requirements of animal welfare law; alternatives to the use of live animals in research; resources that could prevent unintended or unnecessary duplication of research involving animals; the concept, availability and use of research testing methods that limit the use of animals or minimize animal distress; basic needs, proper handling and care of each species of animal to be used; proper pre- and post-procedural care of animals; aseptic surgical methods and procedures; proper use of anesthetics, analgesics and euthanizing agents; and the means whereby animal morbidity and animal-related concerns are managed and reported.

8.4.2 Verification of individual qualifications and basic understanding of animal welfare policies is required by the IACUC before personnel can be associated with an approved protocol. For ongoing activities, IACUC policy training for all personnel listed on an approved protocol shall be renewed no less than every three years, or as otherwise requested by the IACUC or IACUC Coordinator.

8.4.3 The PI is responsible to ensure and document individual training and proficiency in animal care and use procedures. The IACUC may require individuals to receive veterinary training and/or certification in practical animal handling or surgery before being permitted to participate in certain activities. The ACPM shall verify and document individual training and proficiency of ACF personnel responsible for animal care.

~~9.0 IACUC Membership and Meeting Bylaws~~

931 ~~9.1— IACUC members shall be appointed by the University President and will advise the~~
932 ~~Institutional Official about matters pertaining to animal care and use in research and~~
933 ~~instruction at all facilities where animals are held or used. IACUC members are obligated~~
934 ~~to treat all information and materials presented to them as privileged and confidential so~~
935 ~~as not to reveal Committee deliberations or action, proprietary information or trade~~
936 ~~secrets; or to jeopardize individual employment relations or external funding.~~
937
938 ~~9.2— The membership of the IACUC shall be composed of individuals who are qualified~~
939 ~~through training or expertise in order to conduct its business. The IACUC shall include no~~
940 ~~less than five (5) voting members, and shall include at least:-~~
941 ~~-~~
942 ~~9.2.1— A Doctor of Veterinary Medicine with training or experience in laboratory animal~~
943 ~~science and medicine;-~~
944
945 ~~9.2.2— One member without any affiliation with the University except for their service on~~
946 ~~the IACUC who is a non-animal user to represent general community interests;-~~
947
948 ~~9.2.3— One member whose primary concerns and expertise shall be in a nonscientific area~~
949 ~~(i.e., ethicist, lawyer, peace officer, member of the clergy);-~~
950
951 ~~9.2.4— One member shall be trained and experienced in research involving animals; and~~
952
953 ~~9.2.5— One Chair and one vice-Chair. The Chair and vice-Chair seats may only be filled~~
954 ~~by a primary voting member of the Committee who is a full-time faculty member within one~~
955 ~~of the Colleges of the University.-~~
956
957 ~~9.3— An individual who meets the requirements of more than one of the categories~~
958 ~~outlined in section 9.2 of this document may fulfill more than one required seat of the~~
959 ~~IACUC.~~
960
961 ~~9.4— No more than 3 IACUC members can be from the same administrative unit of the~~
962 ~~University.~~
963
964 ~~9.5— Alternate members may be appointed by the University President to serve and~~
965 ~~participate on the IACUC. Based on their expertise, alternates may serve to fill a variety of~~
966 ~~primary member seats to be formally identified in their appointment letter. Alternate~~
967 ~~members may voluntarily attend and participate in any IACUC business. However, when~~
968 ~~the primary member and alternate are both present only one vote can be cast amongst~~
969 ~~them.~~
970 ~~-~~

971 ~~9.6— Failure to maintain an adequately constituted committee per Section 9.2 of this policy~~
972 ~~would keep the IACUC from meeting to discuss official business until all seats are properly~~
973 ~~filled.~~
974

975 ~~9.7— The University Animal Care department shall provide staff support to the IACUC by~~
976 ~~providing announcements and agendas for its meetings, recording the minutes of its~~
977 ~~meetings, serving as a repository of all IACUC correspondence and records, and the like.~~
978

979 ~~9.8— The IACUC Coordinator shall serve as the first and primary contact point for requests,~~
980 ~~inquiries and submissions to the IACUC and shall serve as a non-voting member of the~~
981 ~~IACUC. The IACUC Chair, vice-Chair and Coordinator shall have the authority to verify~~
982 ~~IACUC approval of animal related activities, modifications thereto, and official business on~~
983 ~~behalf of the Committee.—~~
984

985 ~~9.9— The IACUC is charged with overseeing animal-related activities, monitoring all~~
986 ~~University facilities and the institution's animal care program, and to recommend changes~~
987 ~~to this policy for consideration by the Institutional Official. The IACUC shall meet no less~~
988 ~~frequently than every three (3) months to ensure this provision.—~~
989

990 ~~9.10— The IACUC shall make every effort to meet on a monthly basis to review protocols~~
991 ~~submitted by the campus community and to tend to routine business except during the~~
992 ~~month of July. Meeting dates and protocol submission deadlines shall be made available~~
993 ~~on the IACUC resources webpage at the beginning of each semester. Regular meetings~~
994 ~~may be canceled by the IACUC Chair if there is no business to transact.—~~
995

996 ~~9.11— Outside attendance of an IACUC meeting may be permitted by consent of the~~
997 ~~IACUC Chair following receipt of a written request submitted to the IACUC Coordinator by~~
998 ~~the interested party. If permission is denied, the minutes of the IACUC will reflect the~~
999 ~~reason for denial.~~
1000

1001 ~~9.12— Emergency meetings of the IACUC may be assembled to address issues~~
1002 ~~surrounding violations of approved protocols; what is viewed by the Campus Veterinarian~~
1003 ~~to be an urgent, significant modification request to an approved study; or issues related to~~
1004 ~~animal welfare or personnel safety.—~~
1005

1006 ~~9.13— When meeting announcements are circulated by the IACUC Coordinator, primary~~
1007 ~~members are responsible to communicate to their respective alternate/s if they cannot~~
1008 ~~attend themselves and produce a group response to ensure representation at a given~~
1009 ~~assembly.~~
1010

1011 ~~9.14 A simple majority of the voting members shall constitute a quorum, which is required~~
1012 ~~for the IACUC to conduct all official business.~~

1013

1014 ~~9.15 No member may participate in official IACUC business if there presents a conflict of~~
1015 ~~interest, except to provide information requested by the IACUC, nor may the person who~~
1016 ~~has a conflicting interest contribute to the constitution of a quorum.~~

1017

1018 ~~9.16 The IACUC may solicit ad hoc reviewers with specific expertise for their input on a~~
1019 ~~case-by-case basis. Ad hoc reviewers may participate in, but not vote on official IACUC~~
1020 ~~business.~~

1021

1022 ~~9.17 The IACUC shall assemble a subcommittee (at least two members) to conduct a~~
1023 ~~review of the institution's Animal Care Program, as well as inspect all of the institution's~~
1024 ~~animal care and use facilities at least once every six months. Reports of IACUC~~
1025 ~~semiannual evaluations shall be prepared and submitted to the Institutional Official per~~
1026 ~~federal requirements at least once every six months.~~

1027

1028 ~~9.18 IACUC procedures for protocol review; protocol approval; response to reported~~
1029 ~~concerns related to the care and use of animals; suspension of an activity involving~~
1030 ~~animals; and internal and external reporting shall conform to the procedures outlined in~~
1031 ~~this policy.~~

1032

1033 ~~9.19 Member Elections and Appointments~~

1034

1035 ~~9.19.1 To fill vacancies on the committee, the Chair of the IACUC will identify and~~
1036 ~~recommend individuals in writing to the Institutional Official for appointment by the~~
1037 ~~University President.~~

1038

1039 ~~9.19.2 In April of each year a Chair and vice Chair shall each be selected by a majority of~~
1040 ~~the IACUC's voting members for a one-year term (August – July). The IACUC Coordinator~~
1041 ~~shall notify the Institutional Official in writing as to the results of the Chair election for~~
1042 ~~confirmation.~~

1043

1044 ~~9.19.3 Newly appointed members may only participate in official IACUC business upon~~
1045 ~~successful completion of all orientation and training requirements administered by the~~
1046 ~~IACUC Coordinator.~~

1047

1048 ~~9.19.4 Other than non-affiliated member/s whose appointments are considered on an~~
1049 ~~annual basis, IACUC members are appointed for a term of three years with reappointment~~
1050 ~~possible.~~

1051

1052 ~~9.20 Member Resignation and Dismissal~~

1053
1054 ~~9.20.1 Any IACUC member may voluntarily resign their post on the committee at any time~~
1055 ~~by submitting written notification to the IACUC Chair or Coordinator. A minimum 30-day~~
1056 ~~advance notice is requested to ensure functionality of the IACUC through the next~~
1057 ~~scheduled meeting date. Any IACUC member with 'special consultant' status must abide~~
1058 ~~by and possibly terminate their contractual agreement with the University as a matter of~~
1059 ~~resigning their post.~~

1060
1061 ~~9.20.2 In the event the IACUC Chair resigns or is voted off the Committee per Section~~
1062 ~~9.20.3 of this policy, the vice-Chair will immediately assume the Chair position and will~~
1063 ~~complete the departing Chair's term of office. A new vice-Chair shall then be elected from~~
1064 ~~among the voting members at the earliest possible time.~~

1065
1066 ~~9.20.3 The IACUC may formally dismiss a primary member from the committee with a~~
1067 ~~majority vote by a quorum present. Written notification of dismissal will be provided to the~~
1068 ~~primary member, the department head, Institutional Official and University~~
1069 ~~President. Justifiable reasons for removal of a voting member shall be (but not limited~~
1070 ~~to): 1) violation of ethical conduct; 2) attending less than half of scheduled meetings in a~~
1071 ~~twelve-month period; 3) failure to participate in required semiannual site inspections or~~
1072 ~~Program review as a subcommittee at least once every two years; 4) failure to participate~~
1073 ~~and adequately engage in protocol review; or 5) failure to complete required training as an~~
1074 ~~IACUC member.~~

1075
1076 ~~9.20.4 Removal of an alternate member may be initiated by their respective primary~~
1077 ~~member with approval from the IACUC Chair.~~

1078

1079

1080 9.0 The following references have been used collectively in developing this policy and
1081 assurance:

1082

1083

- 1084
- 1085 • American Veterinary Medical Association Guidelines for the Euthanasia of Animals
(2020)
 - 1086 • Animal Welfare Act (Public Law 89-544 as amended)
 - 1087 • California State University System Executive Order 715
 - 1088 • California State University System Executive Order 890
 - 1089 • **SJSU Policy S18-5**
 - 1090 • Endangered Species Act (Public Law 93-205)
 - 1091 • Guide for the Care and Use of Laboratory Animals (NRC, 2010)
 - 1092 • Health Research Extension Act (Public Law 99-158)

- 1093 • Public Health Service Policy on the Humane Care and Use of Laboratory Animals
- 1094 (2002)
- 1095 • U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in
- 1096 Testing, Research, and Training (1985)